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PATENT

Docket No. 4024-4008

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

**Applicant(s)** : John Trezza  
**Serial No.** : 09/896,797 **Group Art Unit:** 2872  
**Filed** : June 29, 2001 **Examiner:** To Be Assigned  
**For** : REDUNDANT OPTICAL DEVICE ARRAY

SIXTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop DD  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is filed in accordance with 37 C.F.R. §§1.56, 1.97 and 1.98. The items listed on Form PTO-1449, a copy of which is enclosed, are made of record to assist the Patent and Trademark Office in its examination of this application. The Examiner is respectfully requested to fully consider the items and to independently ascertain their teaching.

1. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, an English language translation of that item or a portion thereof or a concise explanation of the relevance of that item is enclosed:  
\_\_\_\_\_
2. ☐ For each of the following items listed on the enclosed copy of Form PTO-1449 that is not in the English language, a concise explanation of the relevance of that item is incorporated in the specification of the above-identified application.
3. ☐ Any copy of the items listed on the enclosed copy of Form PTO-1449 that is not enclosed with this Information Disclosure Statement was previously cited by or submitted to the Patent and Trademark Office in application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
4. ☒ **No fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with:**
  - ☐ 37 C.F.R. §1.97(b)(1), within three months of the filing date of a national application other than a CPA; or
  - ☐ 37 C.F.R. §1.97(b)(2), within three months of the date of entry into the national stage as set forth in §1.491 in an international application; or
  - ☒ **37 C.F.R. §1.97(b)(3), before the mailing date of a first Office action on the merits;**  
or

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- ☐ 37 C.F.R. §1.97(b)(4), before the mailing date of a first office action after the filing of an RCE under §1.114.
5. ☐ No fee is due under 37 C.F.R. §1.17(p) for this Supplemental Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a Notice of Allowance (where there has been no prior final action), and is accompanied by one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below.
6. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(c), after the period specified in paragraph 4 above but before the mailing date of a final action or a notice of allowance (where there has been no prior final action):
- ☐ A check in the amount of \$180.00 is enclosed in payment of the fee.
- ☐ Charge the fee to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
7. ☐ A fee is due under 37 C.F.R. §1.17(p) for this Information Disclosure Statement since it is being filed in compliance with 37 C.F.R. §1.97(d), after the mailing date of a final action or a notice of allowance, whichever comes first, but before payment of the issue fee, and is accompanied by:
- a. one of the certifications pursuant to 37 C.F.R. §1.97(e) set forth in paragraph 9 below; and
- b. the fee due under 37 C.F.R. §1.17(p) which is paid as set forth in paragraph 11 below.
8. ☐ This Information Disclosure Statement is being filed in compliance with:
- a. ☐ 37 C.F.R. §1.313(b)(3) or §1.313(c)(1), after the issue fee has been paid and information cited in this Information Disclosure Statement may render at least one claim unpatentable and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h);
- b. ☐ 37 C.F.R. §1.313(c)(2) or §1.313(c)(3), after the issue fee has been paid and information cited in this Information Disclosure Statement is to be considered in a Request for Continued Examination (RCE) or a Continuation application upon abandonment of the instant application and is accompanied by the attached Petition To Withdraw Application From Issue and fee pursuant to 37 C.F.R. §1.17(h).
- c. ☐ The fee due under 37 C.F.R. §1.17(h) is paid as set forth in paragraph 11 below.
9. ☒ **I hereby certify that each item of information contained in this Supplemental Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign /application not more than three months prior to the filing of this Supplemental Information Disclosure Statement.**

**PATENT**

**Docket No. 4024-4008**

- ☐ I hereby certify that no item of information in the Information Disclosure Statement filed herewith was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of this Information Disclosure Statement.
10. ☒ **This document is accompanied by ☒ a Supplementary EP Search Report ☐ Communication which was cited in a corresponding ☒ EP or ☐ Foreign counterpart application.**
11. ☐ A check in the amount of \$\_\_\_\_\_ is enclosed in payment of the fees due under 37 C.F.R. §§1.17(h) and 1.17(p).
- ☐ Charge the fees due under 37 C.F.R. §§1.17(h) and 1.17(p) to Deposit Account No. 13-4500, Order No. \_\_\_\_\_. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.
- ☒ **The Commissioner is hereby authorized to charge any additional fees which may be required for this Supplemental Information Disclosure Statement, or credit any overpayment to Deposit Account No. 13-4500, Order No. 4024-4008. A DUPLICATE COPY OF THIS SHEET IS ATTACHED.**

Respectfully submitted,  
MORGAN & FINNEGAN, L.L.P.

Dated: July 19, 2004

By: \_\_\_\_\_

Richard Straussman  
Registration No. 39,847

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Filed : June 29, 2001 Examiner: To Be Assigned  
For : REDUNDANT OPTICAL DEVICE ARRAY

EXPRESS MAIL CERTIFICATE

Express Mail Label No.: EV511406385US

Date of Deposit: July 19, 2004

I hereby certify that the following attached paper(s) and/or fee

1. Sixth Supplemental Information Disclosure Statement (3 pages);
2. PTO Form 1449 (1 page);
3. Copy of six (6) references cited in PTO Form 1449 + Supplementary EP Search Report for EP 02739971 dated June 25, 2004 (3 pages); and
4. Return postcard.

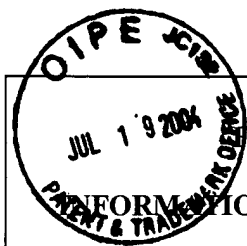
is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and is addressed to Mail Stop DD, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

ALBERT ISLES  
(Typed or printed name of person mailing papers(s) and/or fee)

  
(Signature of person mailing paper(s) and/or fee)

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FORM PTO-1449

INFORMATION DISCLOSURE CITATION

Attorney Docket:

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Serial No.:

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Applicant:

John Trezza

Filing Date:

June 29, 2001

Group Art Unit:

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## U.S. PATENT DOCUMENTS

Examiner Initial	Patent Number	Issue Date	Name	Class	Sub-Class	Filing Date
	4,341,438	July 27, 1982	Seki et al.			May 28, 1980
	5,877,519	March 2, 1999	Jewell			March 26, 1997
	5,946,545	August 31, 1999	Bertin et al.			October 2, 1997
	5,764,405	June 9, 1998	Alphonsus			October 10, 1996

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Patent Number	Publication Date	Country	Class	Sub-Class	Translation
	EP 1022 869 A1	July 26, 2000	Europe			<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	EP 0 762 677 A2	March 12, 1997	Europe			<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
						<input type="checkbox"/> Yes <input type="checkbox"/> No

## OTHER DOCUMENTS

	Supplementary European Search Report for EP 02 73 9971 dated June 25, 2004 (3 pages)

Examiner	Date Considered
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP §609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.	